

1 March 1998

## Inspection

### CIVIL AIR PATROL ASSESSMENT PROGRAM

This regulation provides an explanation of the procedures used in the conduct of CAP unit Quality Air Force Assessments (QAFAs), Staff Assistance Visits (SAVs), Wing Internal Inspections, and Self-assessment Programs. It establishes procedures and provides guidance regarding the responsibility of unit commanders in processing and replying to QAFA and SAV reports.

**1. Scope.** The assessment of CAP units is authorized by AFI 90-201, *Inspector General Activities*, and Section 36 of the *Constitution and Bylaws of the Civil Air Patrol*. Items subject to review include, but are not limited to the following:

- a. Implementation of policies, procedures, and regulations established by National Headquarters, the National Board, and the National Executive Committee.
- b. Management of personnel, corporate resources, and CAP programs.
- c. Compliance with CAP directives to include acquisition, control, use, and disposition of Department of Defense (DoD) excess property.

#### 2. Definitions:

- a. **Assessment Guides.** A guide developed by HQ CAP-USAF/IG for assessing CAP units as well as for use by commanders to conduct their unit self-assessment programs. Guides, written to the wing level, may be modified when needed to meet local requirements.
- b. **Benchmark Candidate.** The best of the best processes observed and researched to date by the assessment team to be considered for emulation by other units.
- c. **Commendable Item.** A highly effective concept, technique, or management practice not observed in other units or significantly better than those found in other units.
- d. **Finding.** A significant deficiency that requires specific answers to National Headquarters on actions taken to correct the deficiency. In the report, a finding is identified by either a single asterisk (\*) or, if potential for Fraud, Waste, and Abuse (FWA) exists, a double asterisk (\*\*). Units must answer findings with enough detail to permit the headquarters staff to determine the adequacy of corrective actions and provide assistance as required.
- e. **Higher Headquarters Item.** Any observation or finding that requires action from a higher level to resolve. These items will be identified in the appropriate tab of the assessment report.
- f. **Observation.** A minor deficiency documented to place emphasis on the need for resolution before it develops into a more serious problem; to provide crossfeed to other units or to act as an indicator of overall unit health.

g. **Open Item.** An answerable finding from a prior assessment in which the unit or higher headquarters' corrective actions are incomplete and HQ CAP-USAF/IG has not closed the item. Corrective action progress is evaluated and documented in the report. If corrective actions were complete, but not reported, and the inspector determined the problem or deficiency solved, the open item is closed, indicating that no further action is required. If corrective actions are incomplete or inadequate, the item remains open. Open items are not repeat write-ups.

h. **Quality Air Force Assessments (QAFAs).** Assessment conducted by the HQ CAP-USAF/IG to evaluate management of resources and to assess the ability of a unit to successfully perform its mission.

i. **Repeat Finding.** A finding reported in the unit's previous IG inspection, survey audit, or SAV report, which was subsequently closed, which exists again during the current assessment. Repeat findings are normally answerable findings.

j. **Staff Assistance Visit (SAV).** Surveillance visits conducted by HQ CAP-USAF/IG, CAP region, and/or liaison region (LR) personnel to improve mission effectiveness.

k. **Special Interest Item (SII).** Those areas or functions requiring particular assessment emphasis. SIIs will be identified by source, number, and expiration date. A separate tab summarizes the status of current SIIs. If an area covered by a SII receives a finding, a cross-reference will appear in the SII tab.

l. **Unit Self-Assessment (USA).** An inspection conducted by commanders, at all levels, to evaluate their own directorates/programs using assessment guides.

m. **Wing Internal Inspections.** Inspections established by either CAP regions or wings to evaluate the management and mission capability of subordinate units.

#### 3. Assessment Frequency and Scheduling:

- a. HQ CAP-USAF/IG inspects each CAP wing approximately every 36 months. CAP-USAF/LRs perform a SAV on each CAP wing in their respective regions every 36 months, recommend 12 months prior to the next scheduled HQ QAFA.

b. HQ CAP-USAF/IG publishes a QAFA schedule and each LR publishes a schedule of SAVs semiannually by 1 June and 1 December. Copies of the schedules are forwarded to appropriate units. QAFAs are scheduled by month by the IG. It is the responsibility of the region commander(s) and wing commander(s) to determine the specific visit dates within the month. Actual wing inspection dates should be 2 calendar days apart, unless specified by the IG schedule (allows team travel and LO/LNCO visit).

c. Additional or follow-up QAFAs or SAVs are scheduled as necessary.

d. Any CAP wing receiving an overall marginal rating during a QAFA receives a SAV within 180 days by the LR.

e. CAP region/wing commanders may request additional inspections through coordination with HQ CAP-USAF/IG.

f. All CAP units, programs, and resources are subject to no-notice assessment at the discretion of CAP/CC, HQ CAP/EX and HQ CAP-USAF/CC.

**4. Notification of Assessment.** CAP units to be inspected are notified in writing by the evaluating agency approximately 30 days in advance. The notice includes:

- a. Estimated date of arrival and duration.
- b. Purpose and scope.
- c. Additional information that will enable the commander to prepare for and expedite the assessment.
- d. Any special requirements or requests.
- e. Notification is not required for no-notice assessments.

#### **5. The Assessment/SAV:**

a. The IG or SAV team chief will provide all details pertinent to the visit in the 30-day notification. A formal in-brief is not required.

b. CAP wing commanders will provide unit details and data, IAW Attachment 1, to the HQ CAP-USAF/IG 7 days prior to the inspection. In case of back-to-back inspections, the notification letters will specify a required date 7 days prior to the team departing HQ.

c. QAFAs and SAVs comprise items contained primarily in published assessment guides, but may include, as necessary and determined pertinent to CAP mission accomplishment by the headquarters staff: corporate policy and guidance; Air Force, AETC, AU, CAP, and CAP-USAF directives and instructions; and functional area checklists.

d. CAP wings will provide inspection/SAV team written answers to all *Assessment Guide* questions prior to the beginning of the assessment. Responses will be

submitted the day prior at the hotel, billeting, or through the LO/LNCO.

e. All wing directors should be present for assessments and SAVs. Should directors be unavailable, someone knowledgeable in their areas should represent the absent director. Any wing files or documentation required by CAP regulations must also be available for inspection.

f. At the conclusion of the QAFA, the IG team chief provides an exit briefing including overall rating, individual area ratings, observations, findings, repeat findings, FWA items, special interest items, commendable items, and benchmark candidates.

g. In the interest of progress through assistance, every effort should be made during the SAV, time permitting, to train functional experts, on the spot, to a level of expertise where a discrepancy is corrected and reported as an observation versus a finding.

h. At the conclusion of a SAV, the team chief provides an exit briefing to include strengths, weaknesses, and recommendations for each functional area. Ratings will not be assigned.

#### **6. Assessment Rating Definitions:**

a. **Outstanding.** Performance or operation far exceeds mission requirements. Procedures and activities are carried out in a far superior manner. Resources and programs are very efficiently managed and are of exceptional merit. Few, if any, deficiencies exist.

b. **Excellent.** Performance or operation exceeds mission requirements. Procedures and activities are carried out in a superior manner. Resources and programs are very efficiently managed and relatively free of deficiencies.

c. **Satisfactory.** Performance or operation meets mission requirements. Procedures and activities are carried out in an effective and competent manner. Resources and programs are efficiently managed. Minor deficiencies may exist, but do not impede or limit mission accomplishment.

d. **Marginal.** Performance or operation does not meet some mission requirements. Procedures and activities are not carried out in an efficient manner. Resources and programs are not efficiently managed. Deficiencies exist that impede or limit mission accomplishment.

e. **Unsatisfactory.** Performance or operation does not meet mission requirements. Procedures and activities are not carried out in an adequate manner. Resources and programs are not adequately managed. Significant deficiencies exist that preclude or seriously limit mission accomplishment or endanger personnel or resources.

#### **7. Reports:**

a. A written QAFA report will be prepared for each inspection. Wing and LR reports will consist of the following sections:

(1) **Section I** - Includes the purpose and scope, executive summary, overall assessment, administrative details, team composition, and reply instructions for findings.

(2) **Section II** - Includes the assessment details. Each functional area, command, administration, aerospace education, etc., is addressed to include ratings, observations, findings and recommended corrective action when not self-explanatory. Previously identified QAFA, SAV and/or SII discrepancies that have not been corrected are also addressed.

(3) **Section III** - This section lists the report distribution.

**b. SAV.** A written report is prepared for each inspection. The format for writing SAV observations and discrepancies for all functions is at Attachment 2. Findings identified in previous assessments and/or visits that have not been corrected are included.

**c. Disclaimer.** All QAFA and SAV reports, and associated correspondence containing discrepancy reporting, will include the following statement:

“This is a PRIVILEGED DOCUMENT that cannot be released in whole or part to persons or agencies outside the Civil Air Patrol, nor can it be republished in whole or part in any publication not containing this statement, including Civil Air Patrol magazines and general use pamphlets, without the express approval of the Executive Director of Civil Air Patrol.”

## 8. Reporting Processing:

### a. QAFAs:

(1) Two copies of the QAFA report are forwarded to the unit within 30 days after completion of the inspection. Information copies are furnished to all wings, the wing LO, CAP region commander, National Commander, and appropriate AF units.

(2) The inspected unit forwards a written reply to all findings to HQ CAP-USAF/IG; information copy to CAP regions and CAP-USAF liaison regions. Use Attachment 3 example as a guide. Submit the initial reply to answerable findings within 90 days of receipt of the assessment report. Submit progress updates every 60 days thereafter on all open responses until each finding is closed.

(3) National Headquarters directors are responsible for review of applicable functional areas. If corrective action is not considered adequate, then the appropriate director must initiate follow-up action as necessary to the inspected unit. All correspondence to subordinate units regarding assessment results must be coordinated with the HQ CAP-USAF/IG.

(4) HQ CAP/EX and HQ CAP-USAF/CC will accomplish final headquarters review of all QAFA reports.

(5) When corrective actions are considered adequate, a close-out letter is forwarded to the inspected unit by the HQ CAP-USAF/IG.

### b. SAVs:

(1) Two copies of the SAV report are furnished to the evaluated unit within 30 days after completion of the visit. Information copies are provided to the HQ CAP-USAF/IG and the respective CAP region commander and LO(s).

(2) Replies of corrective action(s) to deficiencies are submitted to the CAP-USAF LR commander who was responsible for the SAV. Use Attachment 3 format to reply to SAV deficiencies.

(3) When all deficiencies are corrected, the appropriate LR will issue a SAV close-out letter to the inspected unit and all information addressees on the original report.

**9. Maintenance and Disposition of QAFA and SAV Reports.** CAP units will maintain reports and applicable correspondence until issuance of the next inspection report, i.e., QAFA or SAV (normally, but not limited to 3 years).

**10. Wing Internal Inspection.** Each CAP region and wing commander is authorized and encouraged to develop his/her own internal inspection program of subordinate units. It is recommended that the IG at each level administer the program and that any program be modeled after the existing National Headquarters program.

## 11. CAP Unit Self-Assessments:

**a.** Self-assessments, when conducted properly, provide feedback to the commander highlighting areas that require further emphasis. Administrative requirements should not burden managers, but should realistically identify and help resolve deficiencies. Emphasis should be on mission impact problems and fixing root causes.

**b.** National Headquarters will provide a *QAFA Assessment Guide*, written at the wing level, and a *Self-Assessment Guide* for use at the squadron level.

**c.** To be effective, a self-assessment program should include:

(1) Periodic review and update of assessment guides in use.

(2) Timeliness of Use: Recommend new directors or commanders run their self-assessments within 60 days of assuming positions, then annually just prior to 1 October each year.

(3) Provide an executive summary of self-assessment results up one level of command (i.e., squadron to group, group to wing, wing to region) so results may be used internally to enhance mission accomplishment.



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Attachments:

1. QAFA/SAV Unit Details and Data
2. SAV Reports
3. SAV/QAFA Reply Format

SUMMARY OF CHANGES

This revision deletes the requirement for SAVs to CAP regions, aligns formal QAFA and SAV scheduling semiannually on 1 June and 1 December, deletes the requirement for QAFA and SAV in-briefs by both the IG and wing commander, revises QAFA report format to that actually used in 1997, simplifies SAV report format, relaxes time period of close out, and clarifies unit self-assessment guidance.

**NOTE:** Changes from superseded publication are identified in this document by placing a bold vertical bar outside the appropriate margin.

**HQ CAP QUALITY ASSESSMENT  
and  
LIAISON REGION STAFF ASSISTANCE VISIT  
UNIT DETAILS AND DATA**

The following outline covers data usually presented at an inspection in-brief. In the interest of timeliness and not burdening or requiring the CAP wing staff to attend the in-brief, one copy, except where noted, of the following data is to be faxed (334 953-1220) or e-mailed (ig@cap.af.mil) to the HQ CAP-USAF/IG 7 days prior to the visit or 7 days before the team departs headquarters, whichever is earlier.

1. Number of units: groups, squadrons, and flights
2. Number of members: seniors and cadets
3. Overall wing budget, amount of any state appropriations
4. Number of vehicles, last fiscal year (FY) vehicle expense, year-to-date (YTD) vehicle expense
5. Number of aircraft, last FY aircraft expense and income, YTD aircraft expense and income
6. Counter drug flying hours last FY, CD hours YTD, % of private aircraft CD hours last FY and YTD, amount in the wing's 15% CD Admin Fund
7. Actual SAR flying hours last FY and YTD, actual ground team hours last FY and YTD
8. SAR training hours last FY and YTD, both flying and ground
9. Number of cadet "O" flights last FY and YTD
10. Number of current pilots, number of mission pilots, number of observers
11. Number of flight release officers on orders
12. Number of CAPR 60-2, *Safety and Regulatory Compliance—No-Notice Inspection*, no-notice inspections conducted last calendar year, this YTD; hard copy results of all inspections to be presented during Tab J interview
13. Other items deemed pertinent to the inspection as outlined in the 30-day notification letter to the wing commander

## FORMATS FOR STAFF ASSISTANCE VISIT REPORTS

1. Cover memorandum to inspected unit commander in current Air Force format. The actual SAV report will be an attachment to that memo.
2. Section I - Executive Summary to include Purpose, Summary, Administrative Details (including reply instructions), Key Personnel Contacted, and Team Composition.
3. Section II - Functional Areas SAVs and QAFAs will use the same lettering sequence from appropriate headquarters' assessment guides.
4. Section III - Distribution
5. Functional Area Format. For purposes of this example, assume the narrative for the "Aerospace Education" function is being drafted. Formats are the same for all functional areas. Each functional area should have a short narrative describing the overall condition of the area with overall comments, strengths, and areas(s) for improvement. Findings may be included as appropriate.

### EXAMPLE:

#### TAB C AEROSPACE EDUCATION:

Wing POC: Lt Col Smith, CAP

Interviewer: Dr. Jones, SELR/DAE

#### Overall Comments:

Aerospace education is one-third of the Civil Air Patrol Program. Not one AE professional was available for the SAV consultation, which was very disappointing since this is an important mission. Aerospace education demands dedication and commitment because of its placement within the CAP system.

#### Strengths:

Lt Col Smith gave his all to portray AE as a viable program within the STATE Wing. He indicated that AE was part of the STATE Wing Web Site and that AE has a newsletter and that an E-mail system is in place to monitor customer satisfaction. They also have a Yeager Test Day and aerospace offerings are evident at encampments. There is a nice CAP/CADET/AE program in existence with a middle school.

#### Area(s) for Improvement:

- That at least one of the AE professionals be present at future SAVs and, most certainly, all should be at the IG QAFA review.
- The chief of staff was honest in his appraisal that the AE component is only meeting minimum standards and termed the program as "satisfactory." Needless to say, a review of the program is in order.
- A unit visitation schedule should be setup and followed through in order to see first hand how the AE program is fairing in the field.
- (Finding XX): A Wing Plan of Action for AE needs to be accomplished IAW applicable guidance.
- Documentation is needed to satisfy requirements of CAP Regulation XX, paragraph YY.
- Statistics needed on number of Yeagers that are processed.

- A great deal more needs to be done in the area of external education.
- A needs assessment is necessary to review staffing, the internal AE program, external AE program, etc.
- More work needs to be done in the area of aerospace education memberships.
- The QAFA questions need to be reviewed and understood for specificity.
- Documentation in all WAG areas is advised.

**SAV/QAFA REPLY FORMAT**  
(Use appropriate letterhead)

(Transmittal Date)

MEMORANDUM FOR LOCAL LIAISON REGION/CC (SAV Reply)  
HQ CAP-USAF/IG (QAFA Reply)

FROM: State CAP Wing/CC

SUBJECT: (Initial or Follow-up) Reply to SAV (QAFA) Report, (Date of SAV/QAFA)

The following corrective actions have been taken relative to findings noted in the subject report:

**TAB C AEROSPACE EDUCATION**

**(Finding XX) No AE Plan of Action established. Overall director of aerospace education relieved of duties by wing commander due to failing health. New wing AE recruited internal and external AE officers and is currently working AE Plan of Action. Estimated completion date: 30 Nov 98; Monitor: Colonel Edward Edsel, State CAP Wing/CC, (334) 555-1212.**

(If you are still working on correcting the finding during your initial or follow-up reports, list an estimated completion date. If you have completed corrective action at the unit level, recommend closure of the finding. HQ CAP-USAF/IG will formally advise the unit of acceptance of corrective action and approve closure.)

EDWARD R. EDESEL, Colonel, CAP  
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